



The Rocky Mountain Record

Volume XIII, Issue 3

Fall 2006

Electronic recordkeeping has already arrived. The question is - are you ready?

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The National Archives has mandated that, by September 30, 2009, Federal agencies must identify all their existing electronic information systems and include them in a NARA-approved retention schedule. Federal regulations, such as OMB Circulars A-11 and A-130 and 36 CFR 1234.10, also require your agency to incorporate records management functions into the design, development, and implementation of all new and updated Federal electronic information systems.

Don't fret. There are tools, techniques, and strategies that will help your agency comply with these require-

ments, improve your processes and systems, and avoid the risks of noncompliance.

Many agencies and offices think of records management as managing only paper records, and that its main function is to transfer records to storage. Records managers are not consulted nor are they invited to the table when information systems are designed or updated, even when they possess the knowledge and skills to make the management of all records, including electronic records, simpler and less painful.

The solution NARA proposes is to use Business

Analysis to identify recordkeeping requirements for your lines of business, and then to incorporate these recordkeeping requirements in the design of all new information systems, and into systems when they are upgraded or redesigned. The Information Technology Management Reform Act, or as it is commonly known, the Clinger-Cohen Act, requires you to redesign your systems when you request money from OMB for a large IT project, so many of your agency staff are already familiar with this tool and are using it to improve your business processes. You just may not have thought about

it as a tool to help you identify and manage your agency's valuable business information.

Business Analysis occurs before or during the concept phase of the systems development life cycle. It's used to identify system requirements relating to functionality, data, performance, security, user interface, and so on. But you can also use Business Analysis for your records.

With Records-Aware Business Analysis, a work process is broken down into constituent tasks and subtasks.

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Toolkit for Managing Electronic Records

NARA is also developing guidance and tools to assist you. The Toolkit for Managing Electronic Records contains in one place all NARA guidance and tools relating to electronic recordkeeping, as well as links to tools to assist with business analysis.

See NARA's tool kit at: <http://toolkit.archives.gov>

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Records management staff then develop a set of specific questions about how and why each task is documented:

- Is a record created or changed?
- If so, who needs access to the record? What restrictions should apply?
- What should the record contain?
- How long should it be kept?
- Is the process governed by any laws, regulations, or professional practices?

The results are a set of detailed, process-specific recordkeeping requirements. These requirements are provided to the systems designers during the requirements-

gathering and design stages of the systems development life cycle.

Analyzing the business process to account for records can help streamline work processes and therefore improve efficiency. Ask yourself, if records are NOT created, is this step necessary to the business process?

After you have identified the records created during the work process and understand the functions they support, you can use this knowledge to identify the records management requirements that will be built into your information system during the systems development life cycle. Therefore, using Business Analysis, records managers create a list of requirements that a system must meet in order to manage

records. Records managers then work with system owners or project managers to ensure that these requirements are included in the system requirements documentation and in the system design. New information systems are then certified against this list of requirements after the records manager verifies that the requirements are met in the system as built. As a result, all new systems are designed to serve as recordkeeping systems, and manage records as they create or receive them, so that your agency does not necessarily have to set up a separate system for recordkeeping.

When you build recordkeeping requirements right into your IT systems, you save

yourself time, expense, and effort down the road. You may not need to buy an expensive records management application and try to retrofit your systems. But if you do need to purchase an RMA, the hard work will already have been done, and your systems should integrate well with the new application.



NARA Bulletin 2006-04 gives new guidance on scheduling electronic copies of E-mail and word processing records.

The NARA Bulletin 2006-04 directs agencies to use General Records Schedule (GRS) 20, item 13 as the disposition authority for e-copies of records created using word processing applications. When agencies submit records schedules to NARA the copies maintained in the recordkeeping system may be electronic, paper or microform. You may use GRS 20, items 13 and 14, for the disposal disposition authority of electronic word processing and e-mail copies of records that reside on the "live" computer system. It is no longer necessary to submit separate schedule items for these copies

as temporary records.

You might ask, "why the changes?" It is NARA's position that clarification was needed regarding the scheduling of e-documents created using word processing application and copies of e-mail records maintained on "live" e-mail systems, otherwise there was a danger in agencies destroying records not thought of as "records" as governed by existing laws and records guidelines. Over the past eight years, in processing schedules, it became apparent to NARA that agencies should include e-mail and word

processing copies when they schedule permanent series or submit schedules. The process of changing the retention period of previously scheduled temporary series has not resulted in an adverse comment or unnecessary revision to current schedules; but, in some cases it has caused a slight delay in the approval of such schedules since notice must be published in the Federal Register. However, removing the requirement for submitting separate schedule items will reduce the scheduling burden for agencies.

This change will also accelerate the overall approval process while still providing for adequate and proper documentation of government activities. For additional information NARA's Life Cycle Management Division, headquartered in Washington, DC, will provide assistance and advice to agency records officers. A list of appraisal and scheduling work groups and regional contacts is posted on NARA web site at: <http://www.archives.gov/records-mgmt/appraisal/index.html>.

Welcome to NARA's Records Management Learn Center. NARA's course exams are now on-line!

The National Archives and Records Administration (NARA) now has a Records Management Training Program portal. The Records Management (RM) Learn Center is a learning and training resource portal accessible through the Internet. It is designed for employees and contractors of the U.S. Federal Government who handle records or manage information. The training and resources here will also be of interest to program managers, legal counsel, IT staff and state and local government officials.

In the RM Learn Center, you can: view nationwide training schedules; enroll in classroom and Web-based training events; view your learning progress (courses completed and/or exams passed) in "my learning history"; check or change the classes for which you're enrolled (through "my enrollments"); print out the cer-

tificates for those classes you've completed; access RM training resources; and link to NARA's online "Records Management for Everyone".

The URL for NARA's Learn Center is <http://nara.learn.com/recordsmanagement-training>

Deadline for E-Mail Testing

Effective November 3, 2006, NARA switched the Knowledge Area tests to the online system, and all students taking classes are now required to take the tests on-line. If you took a KA course, between December 12, 2005 and October 1, 2006, you have two options to take the test: Take the test on-line by December 31, 2006, or Return the e-mailed test by November 30, 2006.

Please note that after November 30, 2006, you can only take the test on-line, and you must pass the test online by December 31, 2006.

To access the test on-line, please follow the procedures below. If you have any questions, please contact: Lee Webster, Testing Coordinator (lee.webster@nara.gov).

On-line Knowledge Area Testing Procedures

- To enter the NARA RM learning management system, put the URL for the Learn Center, into your web browser.
- Click on "Existing User" if you've registered in our online learning center before; otherwise click on "New User"
- Enter your system user id (first initial + last name) and password of your choice.
- Click on "Online Certification Testing" on the left-hand navigation bar.
- Click on the title of the course exam you wish to take, e.g., "KA 2".

- Click on the highlighted "here" to launch the test.
- Read the instructions carefully and then click on "Next" at the top to proceed to the first test item. (Note: this is an "open-book" exam; you are encouraged to refer to your class manual and notes.)
- Read the question, check the appropriate answers, and then click on "Next" to proceed.

After the last test item, click to receive your test results and feedback on particular items. Upon completion of the exam, you must have a score of 75% or higher in order to pass. Your "Learning History" in the Learn Center will also reflect this test completion and pass/fail. You will have documentation that you passed; and NARA will be able to track your progress toward a certificate. If you failed, we suggest that you try it again later, after reviewing the course material.

Wiki's, Blogs, and Portals: What Are They and How Should You Manage Them?

Does Instant Messaging content qualify as a Federal Record? What are web portals, RSS, blogs and wikis and what are their implications for managing records?

In collaboration with our Federal agency partners, CIA, State, Energy, FBI, and Justice, NARA has issued two new guidance products regarding web records.

They are:

1. Frequently asked questions about Instant Messaging <http://www.archives.gov/records-mgmt/initiatives/im-faq.html>.
2. Implications of Recent Web Technologies for NARA Web Guidance <http://www.archives.gov/records-mgmt/initiatives/web-tech.html>.

These products are in response to agency requests for information. They are not intended to answer all aspects of all questions on a topic, but cover the most important/frequently asked questions to help RM staff understand how basic RM requirements apply to the topic. These products also supplement existing NARA

web guidance by addressing the implications of new recent web technologies. These products are issued to advance the understanding of new technological tools and implications for managing records and are intended for the wide range of records management staff from agency records officers to records officer liaisons in the field.

Rocky Mountain Region Instructor Lead Training for FY-07

Register for workshops and briefings through:

<http://www.nara.learn.com/recordsmanagement-training>

OR request a registration form by e-mailing us at: workshop.denver@nara.gov

To communicate with a NARA Representative call: (303) 407-5720 or Fax: (303)-407-5731

Date	Course Title	Location
January 17 - 18, 2007	Creating and Maintaining Agency Business Information (KA 2)	Albuquerque, NM
January 24 - 25, 2007	Records Scheduling (KA 3)	Albuquerque, NM
February 13 - 14, 2007	Creating and Maintaining Agency Business Information (KA 2)	Denver, CO
March 21 - 22, 2007	Records Schedule Implementation (KA 4)	Albuquerque, NM
April 17 - 18, 2007	Asset and Risk Management (KA 5)	Albuquerque, NM
April 19, 2007	Records Management Program Development (KA 6)	Albuquerque, NM
April 25 - 26, 2007	Records Schedule Implementation (KA 4)	Denver, CO
May 2 - 3, 2007	Asset and Risk Management (KA 5)	Denver, CO
May 4, 2007	Records Management Program Development (KA 6)	Denver, CO
June 5 - 6, 2007	Records Scheduling (KA 3)	Montana
June 19, 2007	Basic Records Operations	Albuquerque, NM
June 20, 2007	Recordkeeping: A Program Manager's Survival Guide	Albuquerque, NM
July 11 - 12, 2007	Disaster Preparedness and Response	Denver, CO
July 18, 2007	Basic Records Operations	Denver, CO
July 25, 2007	Survival Guide for IT Professionals: Information Assurance and Records Management	Albuquerque, NM